

DOCKET NO.: H0498.70164US00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Charles M. Lieber, et al.

Serial No.:

10/020,004

Confirmation No.:

7232

Filed:

December 11, 2001

For:

NANOSENSORS

Examiner:

Victor A. Mandala

Art Unit:

2826

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the <u>if</u> day of November, 2004.

Signature

MAIL STOP RCE

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

STATEMENT FILED PURSUANT TO THE DUTY OF DISCLOSURE UNDER 37 C.F.R. §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicants request consideration of this Information Disclosure Statement.

• PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. §1.114.

No fee or certification is required.

Conf. No.: 7232

PART II: Information Cited

The Applicants hereby make of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references

The Applicants would like to bring to the Examiner's attention the following co-pending applications that may contain subject matter related to this application:

| Serial No. | Filing Date | <u>Inventors</u> |
|------------|-------------------|------------------|
| 10/734,086 | December 11, 2003 | Lieber, et al. |

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

- 1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
- 2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
- 3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicants make no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicants make no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Serial No.: 10/020,004 - 3 - Art Unit: 2826

Conf. No.: 7232

Notwithstanding any statements by the Applicants, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By:

Timothy J. Oyer, Ph.D., Reg. No. 36,628

Tani Chen, Sc.D., Reg. No. 52,728

Wolf, Greenfield & Sacks, P.C.

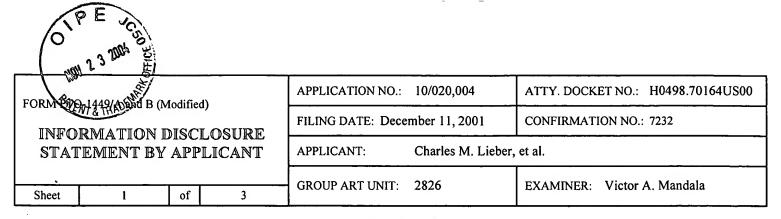
600 Atlantic Avenue

Boston, Massachusetts 02210-2206

Telephone: (617) 646-8000

Date: November 19, 2004

xNDDx 828834tf

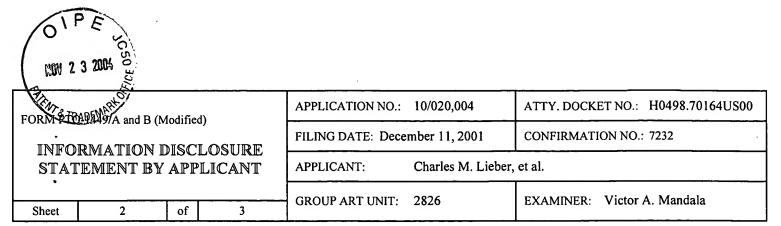


U.S. PATENT DOCUMENTS

| Examiner's | Cite | U.S. Patent Document | | Name of Patentee or Applicant of Cited | Date of Publication or of issue | |
|------------|------|----------------------|--------------|--|---------------------------------|--|
| Initials | No. | Number | Kind Code | Document | of Cited Document MM-DD-YYYY | |
| | 72 | 3,873,359 | | Lando | 03-25-1975 | |
| | 73 | 3,873,360 | | Lando | 03-25-1975 | |
| • | 74 | 3,900,614 | | Lando | 08-19-1975 | |
| | 75 | 5,252,835 | | Lieber et al. | 10-12-1993 | |
| | 76 | 5,512,131 | | Kumar et al. | 04-30-1996 | |
| | 77 | 5,537,075 | | Miyazaki | 07-16-1996 | |
| | 78 | 5,581,091 | | Moskovits et al. | 12-03-1996 | |
| | 79 | 5,726,524 | | Debe | 03-10-1998 | |
| _ | 80 | 5,840,435 | | Lieber et al. | 11-24-1998 | |
| • | 81 | 5,864,823 | | Levitan | 01-26-1999 | |
| | 82 | 6,159,742 | | Lieber et al. | 12-12-2000 | |
| • | 83 | 6,190,634 | B1 | Lieber et al. | 02-20-2001 | |
| | 84 | 6,559,468 | B1 | Kuekes et al. | 05-06-2003 | |
| | 85 | 6,716,409 | B2 | Hafner et al. | 04-06-2004 | |
| | 86 | 2002/0084502 | A1 | Jang et. al. | 07-04-2002 | |
| | 87 | 2002/0112814 | A1 | Hafner et al. | 08-22-2002 | |
| | 88 | 2002/0122766 | A1 | Lieber et al. | 09-05-2002 | |
| | 89 | 2002/0130311 | A1 | Lieber et al. | 09-19-2002 | |
| | 90 | 2002/0130353 | Al | Lieber et al. | 09-19-2002 | |
| | 91 | 2002/0146714 | Al | Lieber et al. | 10-10-2002 | |
| | 92 | 2002/0172820 | A1 | Majumdar et al. | 11-21-2002 | |
| | 93 | 2002/0175408 | A1 | Majumdar et al. | 11-28-2002 | |
| _ | 94 | 2003/0089899 | A1 | Lieber et al. | 05-15-2003 | |
| | 95 | 2003/0156992 | A1 | Anderson et al. | 08-21-2003 | |
| | 96 | 2003/0186522 | A1 | Duan et al. | 10-02-2003 | |
| • | 97 | 2003/0200521 | Al | DeHon et al. | 10-23-2003 | |
| | 98 | 2004/0005723 | A1 | Empedocles et al. | 01-08-2004 | |
| | 99 | 2004/0026684 | Al | Empedocles | 02-12-2004 | |
| | 100 | 2004/0095658 | A1 | Buretea | 05-20-2004 | |
| | 101 | 2004/0112964 | Al | Empedocles et al. | 06-17-2004 | |
| | 102 | 2004/0118448 | Al | Scher | 06-24-2004 | |
| | 103 | 2004/0136866 | Al | Pontis | 07-15-2004 | |
| | 104 | 2004/0146560 | A1 | Whitehead | 07-29-2004 | |

FOREIGN PATENT DOCUMENTS

| Examiner's Cite Initials No. | Cite | Foreign Patent Document | | | Name of Patentee or Applicant of Cited | Date of Publication of | Translation |
|------------------------------|------|-------------------------|----------|--------------|--|---------------------------------|-------------|
| | | Office/ Country | Number | Kind Code | (mat managamu) | Cited Document (Y/N) MM-DD-YYYY | |
| | 105 | wo | 95/02709 | A2 | President and Fellows of Harvard College | 01-29-1995 | |

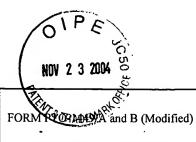


| FOREIGN | PATENT | DOCUMENTS |
|---------|--------|-----------|

| Eveminer's | Examiner's Cite | | eign Patent Docur | ment | Name of Patentee or Applicant of Cited | Date of Publication of | Translation (Y/N) |
|------------|-----------------|--------------------|-------------------|--------------|--|---------------------------|----------------------|
| Initials | No. | Office/ Country | Number | Kind Code | Document (not necessary) Document (not necessary) MM-DD-YYYY | | |
| | 106 | WO | 96/29629 | A2 | President and Fellows of Harvard College | 09-26-1996 | |
| | 107 | wo | 97/33737 | A1 | President and Fellows of Harvard College | 09-18-1997 | |
| | 108 | WO | 97/34025 | A1 | President and Fellows of Harvard College | 09-18-1997 | |
| | 109 | WO | 00/51186 | A1 | Josesph E. Clawson, Jr. | 08-31-2000 | |
| | 110 | WO | 02/080280 | A1 | The Regents of the University of California | 10-10-2002 | |
| | 111 | wo | 03/053851 | A2 | President and Fellows of Harvard College | 07-03-2003 | |
| | 112 | wo | 03/063208 | A2 | California Institute of Technology | 07-31-2003 | |
| _ | 113 | wo | 04/010552 | Al | President and Fellows of Harvard College | 01-29-2004 | _ |
| | 114 | wo | 04/032190 | A2 | Nanosys, Inc. | 04-15-2004 | |
| | 115 | wo | 04/032193 | A2 | Nanosys, Inc. | 04-15-2004 | |
| , | 116 | wo | 04/034025 | A2 | Nanosys, Inc. | 04-22-2004 | |

OTHER ART — NON PATENT LITERATURE DOCUMENTS

| Examiner's Initials | Cite No | Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published. | Translation (Y/N) |
|------------------------|------------|---|----------------------|
| - | 117 | CHEUNG, C.L., et al. "Diameter-Controlled Synthesis of Carbon Nanotubes," J. Phys. Chem. B., 106, (2002), pp: 2429-2433 | |
| | 118 | DUAN, X., et al., "Nonvolatile Memory and Programmable Logic from Molecule-Gated Nanowires,", <i>Nano Letters</i> , 2 (5), (2002), pp: 487-490 | |
| | 119 | DUAN, X., et al., "Single-nanowire electrically driven lasers," Nature, 421, (2003), pp. 241-245 | |
| | 120 | GUDIKSEN, M., et al., "Synthetic Control of the Diameter and Length of Single Crystal Semiconductor Nanowires," J. Phys. Chem. B, 105, (2001), pp. 4062-4064 | |
| • | 121 | GUDIKSEN, M, et al., "Size-Dependent Photoluminescence from Single Indium Phosphide Nanowires," J. Phys. Chem. B, 106, (2002), pp: 4036-4039 | |
| | 122 | HOLMES, J. et al., "Control of Thickness and Orientation of Solution-Grown Silicon Nanowires," Science, 287, (2000), pp. 1471-1473 | |
| • | 123 | HU, J., et al., "Controlled growth and electrical properties of heterojunctions of carbon nanotubes and silicon nanowires," <i>Nature</i> , 399, (1999), pp: 48-51 | |
| | 124 | HU,J., et al., "Chemistry and Physics in One Dimension: Synthesis and Properties of Nanowires and Nanotubes," Acc. Chem. Res., 32, (1999), pp: 435-445 | |
| | 125 | HU, S., et al., "Serpentine Superlattice Nanowire-Array Lasers," J. of Quant. Electron., 8, (1995), pp: 1380-1388 | |
| | 126 | HUANG, Y. et al., "Gallium Nitride Nanowire Nanodevices," Nano Letters, 2(2), (2002), pp: 101-104 | |
| | 127 | HUANG, M., et al., "Room-Temperature Ultraviolet Nanowire Nanolasers," Science, 292, (2001), pp: 1897-1899 | |
| | 128 | JOHNSON, J., et al., "Single gallium nitride nanowire lasers," <i>Nature</i> , 1, (2002), pp: 106-110 | |
| | 129 | JOHNSON, J., et al., "Single nanowire lasers," J. of Phys. Chem., 105(46), (2001), pp: 11387-11390 | |
| - | 130 | JOSELEVICH, E., et al., "Vectorial Growth of Metallic and Semiconducting Single-Wall Carbon Nanotubes," <i>Nano Letters</i> , 2(20), (2002), pp. 1137-1141 | |
| | 131 | KONG, J., et al., "Chemical vapor deposition of methane for single-walled carbon nanotubes," <i>Chem. Phys. Letters</i> , 292 , (1998), pp: 567-574 | |



Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

of

3

3

APPLICATION NO.: 10/020,004 ATTY. DOCKET NO.: H0498.70164US00

FILING DATE: December 11, 2001 CONFIRMATION NO.: 7232

APPLICANT: Charles M. Lieber, et al.

GROUP ART UNIT: 2826 EXAMINER: Victor A. Mandala

OTHER ART -- NON PATENT LITERATURE DOCUMENTS

| Examiner's Initials | Cite No Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published. | | | | |
|------------------------|--|--|--|--|--|
| | 132 | KONG, J., et al., "Synthesis of individual single-walled carbon nanotubes on patterned silicon wafers," <i>Nature</i> , 395, (1998), pp: 878-881 | | | |
| | 133 | LAUHON, L., "Epitaxial core-shell and core-multishell nanowire heterostructures," <i>Nature</i> , 420 , (2002), pp: 57-61 | | | |
| | 134 | MARTEL, R. et al., "Single-and multi-wall carbon nanotube field-effect transistors," <i>Applied Physics Letters</i> , 73(17), (1998), pp. 2447-2449 | | | |
| | 135 | RUECKES, T., "Carbon Nanotube-Based Nonvolatile Random Access Memory for Molecular Computing," Science, 289, (2000), pp: 94-97 | | | |
| | 136 | STAR, A., et al., "Preparation and Properties of Polymer-Wrapped Single-Walled Carbon Nanotubes," <i>Angew. Chem. Int. Ed.</i> , 40 (9), (2001), pp: 1721-1725 | | | |
| | 137 | THESS, A., "Cyrstalline Ropes of Metallic Carbon Nanotubes," Science, 273, (1996), pp. 483-487 | | | |
| | 138 | WANG, N. et al., "SiO ₂ -enhanced synthesis of Si nanowires by laser ablation," <i>Applied Physics Letters</i> , 73(26), (1998), pp. 3902-3904 | | | |
| | 139 | WEI, Q., et al., "Synthesis of Single Crystal Bismuth-Telluride and Lead Telluride Nanowires for New Thermoelectric Materials," Mat. Res. Soc. Symp. Proc., 581, (2000), pp: 219-223 | | | |
| | 140 | WONG, S., et al., "Covalently functionalized nanotubes as nanometre-sized probes in chemistry and biology," <i>Nature</i> , 394, (1998), pp: 52-55 | | | |
| | 141 | YANG, P., et al., "Controlled Growith of ZnO Nanowires and Their Optical Properties," Adv. Funct. Mater, 12(5), (2002), pp: 323-331 | | | |
| | 142 | ZHOU, G. et al., "Growth morphology and micro-structural aspects of Si nanowires synthesized by laser ablation," J. of Crystal Growth, 197, (1999), pp. 129-135 | | | |
| | 143 | International Search Report in PCT Application No. PCT/US03/22061, Int'l Filing Date, 07/16/2003 | | | |
| | 144 | International Search Report in PCT Application No. PCT/US01/48230, Int'l Filing Date, 12/11/2001 | | | |
| | 145 | International Preliminary Examination Report in PCT Application No. PCT/US01/48230, Int'l Filing Date, 12/11/2001 | | | |
| | 146 | Written Opinion in PCT Application No. PCT/US01/48230, Int'l Filing Date, 12/11/2001 | | | |
| • | 147 | Office Action mailed 6/30/04 in co-pending U.S. Patent Application No. 10/196,337, filed 07/16/02 | | | |
| | 148 | Office Action mailed 9/15/04 in co-pending U.S. Patent Application No. 09/935,776 filed 08/22/01 | | | |

| EXAMINE R | DATE CONSIDERED |
|-----------|-----------------|
| | |

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.